



Practitioner's Docket No. CAPTNE/P003A1

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Perrin, Robert E.; Hoek, Sr., Keith A.  
Application No.: 09/845,847 Group No.: 2835  
Filed: April 30, 2001 Examiner: Not Yet Assigned  
For: Method and Apparatus for Routing Data Over a Computer Network

Box Missing Part  
Commissioner for Patents  
Washington, D.C. 20231

COMPLETION OF FILING REQUIREMENTS  
-- NONPROVISIONAL APPLICATION

I. This replies to the Notice to File Missing Parts of Application (PTO-1533) mailed June 26, 2001.

A copy of the Notice to File Missing Parts of Application--Filing Date Granted (Form PTO-1533) is enclosed.

DECLARATION OR OATH

II. The declaration or oath that was filed was determined to be defective. A new original oath or declaration is attached.

SMALL ENTITY STATUS

III. A statement that this filing is by a small entity is attached.

{P0057466;1}

CERTIFICATE OF MAILING/TRANSMISSION (37 C.F.R. SECTION 1.8(a))

I hereby certify that this correspondence is, on the date shown below, being:

MAILING

[XX] deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

FACSIMILE

[ ] transmitted by facsimile to the Patent and Trademark Office at (703) \_\_\_\_ - \_\_\_\_.

Date:

July 10, 2001

Signature

William P. Smith

William P. Smith, Reg. No. 34,931

(type or print name of person certifying)



## COMPLETION FEES

### IV. Surcharge Fees

Late payment of filing fee and/or late filing of original declaration or oath  
(37 C.F.R. Section 1.16(e)) \$65.00

Total Completion Fees \$65.00

## EXTENSION OF TIME

V. The proceedings herein are for a patent application, and the provisions of 37 C.F.R. Section 1.136(a) apply.

Applicants believe that no extension of term is required. However, this conditional petition is being made to provide for the possibility that applicants have inadvertently overlooked the need for a petition and fee for extension of time.

## TOTAL FEE DUE

### VI. The total fee due is:

Completion fees	\$65.00
Extension fee (if any)	\$0.00
Total Fee Due	\$65.00

## PAYMENT OF FEES

VII. Charge Account No. 500287 in the amount of 65.00 and any additional charges that may be due by this paper.

A duplicate of this request is attached.

Date:

July 10, 2001

William P. Smith

William P. Smith  
Registration No. 34,931  
Doepken Keevican & Weiss, P.C.  
58th Floor - USX Tower  
600 Grant Street  
Pittsburgh, PA 15219  
412-355-2600



#2  
Docket No.  
CAPTNE/PO03A1

# Declaration and Power of Attorney For Patent Application

## English Language Declaration

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

**METHOD AND APPARATUS FOR ROUTING DATA OVER A COMPUTER NETWORK**

the specification of which

(check one)

☐ is attached hereto.

☒ was filed on April 30, 2001 as United States Application No. or PCT International Application Number 09/845,847 and was amended on \_\_\_\_\_

(if applicable)

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, Section 119(a)-(d) or Section 365(b) of any foreign application(s) for patent or inventor's certificate, or Section 365(a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate or PCT International application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s)

Priority Not Claimed

\_\_\_\_\_  
(Number)

\_\_\_\_\_  
(Country)

\_\_\_\_\_  
(Day/Month/Year Filed)

☐

\_\_\_\_\_  
(Number)

\_\_\_\_\_  
(Country)

\_\_\_\_\_  
(Day/Month/Year Filed)

☐

\_\_\_\_\_  
(Number)

\_\_\_\_\_  
(Country)

\_\_\_\_\_  
(Day/Month/Year Filed)

☐

I hereby claim the benefit under 35 U.S.C. Section 119(e) of any United States provisional application(s) listed below:

_____	_____
(Application Serial No.)	(Filing Date)
_____	_____
(Application Serial.No.)	(Filing Date)
_____	_____
(Application Serial No.)	(Filing Date)

I hereby claim the benefit under 35 U. S. C. Section 120 of any United States application(s), or Section 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. Section 112, I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37, C. F. R., Section 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application:

_____	_____	_____
(Application Serial No.)	(Filing Date)	(Status)
		(patented, pending, abandoned)
_____	_____	_____
(Application Serial No.)	(Filing Date)	(Status)
		(patented, pending, abandoned)
_____	_____	_____
(Application Serial No.)	(Filing Date)	(Status)
		(patented, pending, abandoned)

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith. *(list name and registration number)*

William P. Smith

Registration No. 34,931

Send Correspondence to: William P. Smith, Esq.  
Doepken Keevican & Weiss  
58th Floor, USX Tower, 600 Grant Street  
Pittsburgh, PA 15219

Direct Telephone Calls to: *(name and telephone number)*

Full name of sole or first inventor <b>Robert E. Perrin</b>
Sole or first inventor's signature <i>Robert E. Perrin</i> <span style="float: right;">Date 15 May 2001</span>
Residence 480 Lyman Circle, Sacramento CA 95835
Citizenship USA
Post Office Address 480 Lyman Circle, Sacramento CA 95835

Full name of second inventor, if any <b>Keith A. Hoek, Sr.</b>
Second inventor's signature <i>Keith A. Hoek Sr.</i> <span style="float: right;">Date 15 May 2001</span>
Residence 2287 Jasper Lane, Wheatland, CA 95692
Citizenship USA
Post Office Address 2287 Jasper Lane, Wheatland, CA 95692

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS (37 CFR 1.9(f) AND 1.27 (c)) - SMALL BUSINESS CONCERN**

Docket No.  
CATPNE/P003A1

Serial No.  
09/845,847

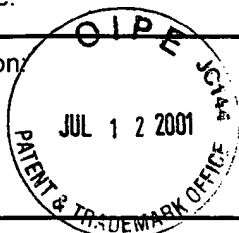
Filing Date  
April 30, 2001

Patent No.

Issue Date

Applicant/ Patentee: Robert E. Perrin and Keith A. Hoek, Sr.

Invention:



Method and Apparatus for Routing Data Over a Computer Network

I hereby declare that I am:

- ☐ the owner of the small business concern identified below:  
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF CONCERN: Captus Networks Corporation

ADDRESS OF CONCERN: 1680 Tide Court, Suite B, Woodland, CA 95776-6210

I hereby declare that the above-identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the above identified invention described in:

- ☐ the specification filed herewith with title as listed above.  
☒ the application identified above.  
☐ the patent identified above.

If the rights held by the above-identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed on the next page and no rights to the invention are held by any person, other than the inventor, who could not qualify as an independent inventor under 37 CFR 1.9(c) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

- ☒ no such person, concern or organization exists.  
☐ each such person, concern or organization is listed below.

FULL NAME \_\_\_\_\_

ADDRESS \_\_\_\_\_

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

FULL NAME \_\_\_\_\_

ADDRESS \_\_\_\_\_

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

FULL NAME \_\_\_\_\_

ADDRESS \_\_\_\_\_

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

FULL NAME \_\_\_\_\_

ADDRESS \_\_\_\_\_

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

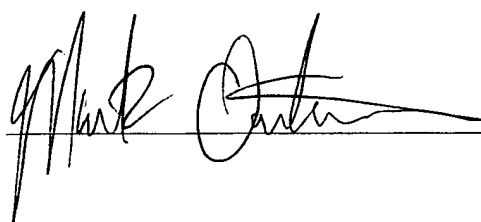
NAME OF PERSON SIGNING: Mark Ontiveros

TITLE OF PERSON SIGNING \_\_\_\_\_

OTHER THAN OWNER: Vice President Engineering

ADDRESS OF PERSON SIGNING: 1680 Tide Court, Suite B  
Woodland, CA 95776-6210

SIGNATURE: \_\_\_\_\_



DATE: \_\_\_\_\_

5/15/01